

PATENT  
005132USA  
7828.7051

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  
GOPALRAJA, et al.  
Serial No.: 10/632,882  
Filed: July 31, 2003

) Examiner: Not Assigned  
)  
) Art Unit: 1753  
)

For: SELF-IONIZED AND CAPACITIVELY-COUPLED PLASMA FOR SPUTTERING AND  
RESPUTTERING

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application.
  - ☐ The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
  - ☐ The specification incorporates comments on the relevancy of Non-English language references.
  - ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:

- B. ☒ The information disclosure statement submitted herewith is being filed
- ☐ within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);

- ☐ within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
  - ☒ before the mailing date of a first Office Action on the merits; or
  - ☐ before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114.
- C. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
  - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
  - 2) a fee of \$180 as set forth in 1.17(p).

#### **STATEMENT UNDER 1.97(e)**


I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).
- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information

disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

If required under paragraph B or C *supra*, enclosed is Applicant's check in the amount of \$180 as set forth in 1.17(p). Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585. A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,

  
William K. Konrad  
Reg. No. 28,868

11/27/04  
Date

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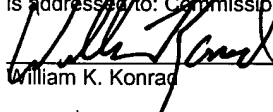
Direct all correspondence to:

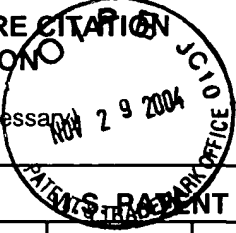
Direct telephone calls to:

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Applied Materials, Inc.  
P.O. Box 450A  
Santa Clara, CA 95052

William K. Konrad  
(310) 553-7970

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date indicated above and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
William K. Konrad  
11/27/04  
(Date)

<b>FORM PTO-1449</b>  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  (Use several sheets if necessary)										<b>Docket Number (Optional)</b> 006775USA					<b>Application Number</b> 10/632,882				
										<b>Applicant</b> GOPALRAJA et al.									
										<b>Filing Date</b> July 31, 2003					<b>Group Art Unit</b> 1753				
<b>RECENT DOCUMENTS</b>																			
EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE							
	4	4	1	2	9	0	5	11/1/83	Khan										
	4	4	9	8	9	6	9	2/12/85	Ramachandran										
	4	5	8	1	1	1	8	4/8/86	Class et al.										
	4	6	7	3	4	8	2	6/16/87	Setoyama et al.										
	4	7	6	1	2	1	9	8/2/88	Sasaki et al.										
	4	8	5	3	1	0	2	8/1/89	Tateishi et al.										
	4	8	6	5	7	0	9	9/12/89	Nakagawa et al.										
	4	8	6	5	7	1	2	9/12/89	Mintz										
	4	8	7	1	4	3	3	10/3/89	Wagner et al.										
	5	0	0	6	2	1	8	4/9/91	Yoshida et al.										
	5	0	2	6	4	7	0	6/25/91	Bonyhard et al.										
	5	1	7	8	7	3	9	1/12/93	Barnes et al.										
	5	1	8	6	7	1	8	2/16/93	Tepman et al.										
	5	2	4	6	5	3	2	9/21/93	Ishida										
	5	3	0	8	4	1	7	5/3/94	Groechel et al.										
	5	4	3	1	7	9	9	7/11/95	Mosely et al.										
	5	4	3	9	5	7	4	8/8/95	Kobayashi et al.										
	5	4	5	5	1	9	7	10/3/95	Ghanbari et al.										
	5	4	5	6	7	9	6	10/10/95	Gupta et al.										
	5	5	8	9	0	3	9	12/31/96	Hsu										
	5	5	9	3	5	5	1	1/14/97	Lai										
	5	7	3	6	0	2	1	4/7/98	Ding et al.										
	5	9	0	2	4	6	1	5/11/99	Xu et al.										
	5	9	0	7	2	2	0	5/25/99	Tepman et al.										
	5	9	3	3	7	5	3	8/3/99	Simon et al.										
	5	9	8	5	7	6	2	11/16/99	Geffken et al.										
	6	0	4	2	7	0	0	3/28/00	Gopalraja et al.										

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

	6	0	7	7	4	0	3	6/20/00	Kobayashi et al.			
	6	0	9	9	7	0	6	8/8/00	Hirabayashi et al.			
	6	1	0	6	6	8	2	8/22/00	Moslehi et al.			
	6	1	1	3	7	3	1	9/5/00	Shan et al.			
	6	1	3	6	1	6	6	10/24/00	Shen et al.			
	6	1	4	9	7	7	6	11/21/00	Tang et al.			
	6	1	5	9	3	5	1	12/12/00	J'Afer et al.			
	6	1	7	4	8	1	1	1/16/01	Ding et al.			
	6	1	7	9	9	7	3	1/30/01	Lai et al.			
	6	1	8	3	6	1	4	2/6/01	Fu			
	6	1	9	3	8	5	5	2/27/01	Gopalraja et al.			
	6	2	2	4	7	2	4	5/1/01	Licata et al.			
	6	2	3	5	1	6	4	5/22/01	Gerrish et al.			
	6	2	5	1	2	4	2	6/26/01	Fu et al.			
	6	2	7	4	0	0	8	8/14/01	Gopalraja et al.			
	6	2	7	7	2	4	9	8/21/01	Gopalraja et al.			
	6	2	8	0	5	8	5	8/28/01	Obinata et al.			
	6	2	8	7	9	7	7	9/11/01	Hashim et al.			
	6	3	0	6	2	6	5	10/23/01	Fu et al.			
	6	3	4	2	1	3	3	1/29/02	D'Couto et al.			
	6	3	5	0	3	5	3	2/26/02	Gopalraja et al.			
	6	3	5	2	6	2	9	3/5/02	Wang			
	6	3	6	8	4	6	9	4/9/02	Nulman et al.			
	6	3	7	5	8	1	0	4/23/02	Hong			
	6	3	9	8	9	2	9	6/4/02	Chiang et al.			
	6	4	1	3	3	8	3	7/2/02	Chiang et al.			
	6	4	2	3	1	9	2	7/23/02	Wada et al.			
	6	4	3	6	2	6	7	8/20/02	Carl et al.			
	6	4	7	5	3	5	6	11/5/02	Ngan et al.			
	6	4	9	8	0	9	1	12/24/02	Chen et al.			
	6	5	0	6	2	8	7	1/14/03	Ding			
	6	5	5	4	9	7	9	4/29/03	Stimson			
	6	5	7	9	4	2	1	6/17/03	Fu			
	6	6	9	2	6	1	7	2/17/04	Fu et al.			

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FOREIGN PATENT DOCUMENTS													
	DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	Translation	
												YES	NO
	0	2	6	1	8	1	2	6/30/87	DE			abs	
	1	1	1	9	0	1	7	7/25/01	EP			full	
	61	2	2	1	3	6	3	10/1/86	JP			full	
	61	2	7	2	3	7	3	12/2/86	JP			abs	
	61	1	5	8	0	3	2	7/17/86	JP			abs	
	63	0	1	8	0	7	1	1/25/88	JP			abs	
	63	2	1	3	6	6	7	9/6/88	JP			abs	
	63	2	6	2	4	6	2	10/28/88	JP			abs	
	1	3	0	9	9	6	3	12/14/89	JP			abs	
	0	0	0	7	2	3	6	2/10/00	PCT			full	
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)													
	US2001/0003607 Published 6/14/01; Gopalraja et al.												
	PCT/US02/36940 International Search Report mailed 2/14/03 (7094PCT)												
	PCT/US02/39510 International Search Report mailed 5/2/03 (7074PCT)												

October 29, 2004

Sheet 3 of 3

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